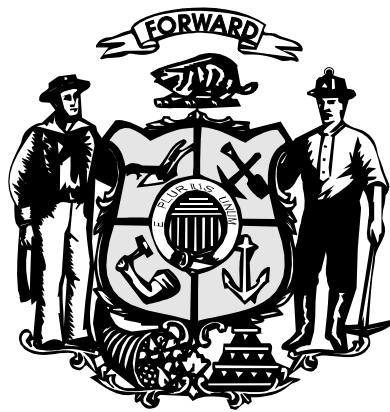


General Records Schedule

Records Management Program Records and Related Documents

August 2006



**For use by
State of Wisconsin Government Agencies**

RDAs REC00001-REC00010

PURPOSE

A General Records Schedule provides legal authorization to dispose of common records on a regularly scheduled basis. The purpose of this schedule is to:

- Provide agencies with uniform guidelines for the retention and disposition of common records;
- Ensure that agencies retain records as long as needed for internal administration, and to meet legal, fiscal, historical and other state of Wisconsin and federal requirements;
- Promote the cost-effective management of records; and
- Provide agencies with legal authorization to dispose of obsolete records on a regularly scheduled basis after minimum retention periods.

WHO MAY USE GENERAL SCHEDULES

General schedules apply to all Wisconsin state agencies. Any state agency may adopt any or all of the authorizations in any general schedules approved by the Public Records Board by opting in or out in whole or in part. See the related policies and procedures associated with opting in and out of general records schedules. These will be located on the Board's website:

<http://publicrecordsboard.wi.gov/>

RECORD SCHEDULES DO NOT REQUIRE CREATION OF RECORDS

It is understood that not all agencies may have all the records listed in this schedule. This schedule does not require records to be created by agencies, rather it provides guidance for actual records that are created or received by agencies.

RECORDS MANAGEMENT

Under Wisconsin law, each state agency is responsible for properly managing its records with approval from the Public Records Board. Proper records management can become complex, however, especially when: the same records are held by more than one department within a state agency, or multiple state agencies possess the same records. Accordingly, this schedule provides guidance for:

- A) Records management among the departments of a single state agency, all of which have custody of the same or similar records; and
- B) Records management among different state agencies, all of which have custody of the same or similar records.

Note: Although this schedule regulates only the official record for each state agency, guidance regarding the management of duplicate copies of a record is also provided in an effort to facilitate efficient records management.

- A. Records Management within an Individual State Agency:** For every record series, each state agency must identify the location of the official record. The official record is retained to satisfy records schedules approved by the Public Records Board. All copies of the official record that are maintained by different departments or programs within the same agency are classified as duplicates under the law. It is important to understand that duplicates of a record are not regulated by statute. Therefore, in the interest of efficient resource allocation, they should be retained only so long as needed in order to complete work projects and thereafter destroyed. [Wis. Stats. § 16.61\(2\)\(b\)](#). Also note that public records that have been retained beyond their approved retention period may have to be provided in response to relevant public records requests, audits and litigation. Duplicate copies of public records may also have to be provided, if available. Thus, it is imperative to destroy duplicates and expired records, which have outlived their functional life cycle.

Note: Because duplicates are not public records, do not send them to the State Records Center.

B. Records Management Among State Agencies That Have Custody of the Same Records:

Records management is also challenging when the same records are in the custody of more than one state agency. For example, accounting records are often created by state agencies and thereafter submitted for review and audit to the Department of Administration (DOA). Thereby, two state agencies possess the same records. In order to make this process easier to understand and manage, the following information is provided.

Requirement:

Each state agency must understand that if a record is created and thereafter submitted to another state agency for review, then under Wisconsin law both the creator and the receiver of the record must properly maintain the same record. [Wis. Stats. § 16.61\(2\)](#).

Guideline:

Each state agency has authority to recommend to the Public Records Board retention periods for every record, or record series, in the custody of that agency. [Wis. Stats. § 16.61\(4\)](#). In other words, just because two state agencies bear responsibility for properly managing the very same record, they are able to assign different retention periods for that record, so long as the Public Records Board approves.

Example:

If the Department of Workforce Development (DWD) created an accounting record and then submitted that record for review to DOA, then DWD and DOA would possess the same record. However, if DWD no longer needs to retain the record after it was transferred to DOA, then DWD could request permission from the Public Records Board to destroy its copy of the record upon transfer to DOA. In addition, DOA could request a different retention period for that record, in accord DOA's business function for the record.

Management of Records Within the University of Wisconsin System. The University of Wisconsin System bears a unique structure comprising fifteen distinct and autonomous educational institutions, all of which are governed by a single corporate board: The University of Wisconsin Board of Regents.

The Board of Regents' governance authority over these fifteen educational institutions is defined by statute: "The primary responsibility for governance of the system shall be vested in the board which shall enact policies and promulgate rules for governing the system...and promote the widest degree of institutional autonomy within the controlling limits of system-wide policies and priorities established by the board. [Wis. Stats. § 36.09\(1\)](#). Moreover, the Board of Regents may delegate authority to the each Institution within the University of Wisconsin System:

The board shall delegate to each chancellor the necessary authority for the administration and operation of the institution within the policies and guidelines established by the board. The board may also delegate or rescind other authority to chancellors, committees of the board, administrative officers, members of the faculty and students or such other groups as it deems appropriate." [Wis. Stats. § 36.09\(1\)\(f\)](#).

In accordance with these statutes, the University of Wisconsin Board of Regents is responsible for the proper management of the University's records. However, the Board may, and often does, delegate or rescind the administration and operation of records management to chancellors, committees of the board, administrative officers, members of the faculty, students, and other appropriate groups.

Therefore, it is important for University employees who manage University records to ascertain whether, and to whom, the Board of Regents has delegated the administration and operation of these records. Thereafter, the delegated authority shall properly manage public records on behalf of the Board of

Regents of the University of Wisconsin System and in accordance with records schedules, which have been approved by the Public Records Board.

Records Series, Titles, and Categories: Individual general schedules provide a listing of each record series, summarizing the retention requirements for official records and suggestions for working copies of the records. All items within a series relate to the same topic and have the same retention requirements. Each record series in a functional area is described in narrative detail, and may include lists of forms, reports and other items included within the series.

General schedules must be interpreted and applied to specific records. However, the titles of record series contained within general schedules may not be the exact titles used by an agency for their records or records series. Thus, if agency staff members would like guidance regarding a general schedule's application to their records, then please identify sources for advice within the section entitled: "For Additional Information and Assistance."

Electronic Records: General schedules cover records in all media, including records that are created or transmitted via electronic mail. Moreover, database systems contain inputs and outputs that are commonly understood to contain records, and the data elements in database systems themselves contain records that are subject to minimum retention and disposition requirements.

[Administrative Rule 12](http://publicrecordsboard.wi.gov/category.asp?linkcatid=3026&linkid=1527&locid=165) Electronic Records Management-Standards and Requirements became effective May 1, 2001. This rule applies to all state record keeping systems. The rule and related information regarding records management for electronic records can be found at <http://publicrecordsboard.wi.gov/category.asp?linkcatid=3026&linkid=1527&locid=165>. The purpose of this rule is to ensure that public records in electronic format are preserved and maintained and remain accessible for their designated retention period. Because of frequent technological change, including hardware and software obsolescence, agencies must take steps to manage and protect electronic records for as long as they are needed to meet business needs and protect the legal, financial and historical interests of Wisconsin citizens by preparing migration plans for electronic records.

Retaining Records: Records may be delayed from destruction, but only under the following conditions:

- Records are required for a financial or performance audit;
- Records are relevant to an actual or imminent legal proceeding; or
- A relevant public record request has been received and not completed.

Before disposing of a record, the office managing the record must determine if an audit, litigation, or public record request is pending. And notably, after a public records request has been filed, Wisconsin law forbids the destruction of any relevant record until the request is granted, or at least 60 days after the request is denied, and court orders may extend this time period. [Wis. Stats. § 19.35\(5\)](#). If agency staff members have questions regarding Wisconsin's Public Records Law, then the agency's legal custodian of records will provide further guidance.

Official records that are inactive, but not yet expired, should be transferred to a low-cost, record storage facility, such as the State Records Center.

Confidentiality of Records: Some records may contain confidential or restricted access records such as social security numbers. If in doubt as to whether or not a specific record is confidential, it is always a good idea to check with agency legal counsel. If your agency does not have a legal counsel, an Assistant Attorney General in the Department of Justice will provide advice.

Personally Identifiable Information (PII): Some records in this schedule contain personally identifiable information as defined by Wisconsin law. Wis. Stats. § 19.62(5). Public access to personally identifiable information is often restricted by law. Therefore, agencies should be aware of the requirements in Wisconsin Statutes, Chapter 19, as well as all applicable program specific laws or regulations. If in doubt

as to whether a specific record contains personally identifiable information, it is always a good idea to check with agency legal counsel. If your agency does not have a legal counsel, an Assistant Attorney General in the Department of Justice will provide advice.

DEFINITIONS

Official Record: The official record is the document that is most likely to be used for multi-agency audit purposes. This record is usually located in the central office of an agency. In decentralized organizations, the official record may be located in an institution, district, field office, cost center, or department.

Duplicate or Working Copies: All duplicate, working, and convenience copies of official records are classified as non-records under [Wis. Stats. § 16.61](#). Therefore, in the interest of efficiency, do not keep non-records longer than needed, and destroy them as soon as possible. It is also important to understand that under Wisconsin law, if non-records are not properly destroyed, then they must be provided to a requester in response to relevant: public records requests, audits, and litigation, even if the official record previously expired and was destroyed in accordance with approved records schedules. Finally, do not send non-records to the State Records Center because they will not be accepted.

Retention Period: The retention period is the minimum length of time an office must keep particular records. This is usually expressed in terms of years, months, days and may be contingent upon an event date or specification date that triggers the “clock.” Most often, retention periods are triggered at: creation(CR), event(EVT), or fiscal(FIS).

Creation(CR): The retention period starts when a record is created or received.

Event(EVT): The retention period is triggered or tied to event dates; thus, retention does not begin until the specified event occurs. For example, if a record series has a retention of EVT+ 1 year and the event is defined as the life of an asset, then all records in this category would be retained one year after the asset is sold, scrapped, or otherwise taken out of service.

Fiscal(FIS): This retention period is tied to the current fiscal year, and unlike CR and EVT retention periods, FIS record series are managed in blocks by fiscal year. For example, “FIS+4 years” indicates that records must be retained for the current fiscal year and four complete additional fiscal years.

Disposition: The final state in a record’s life cycle, involving: destruction or transfer to either the Wisconsin Historical Society or University of Wisconsin Archives for permanent preservation.

LEGAL TERMS

Public Records. Public records are defined as: “all...materials, regardless of physical form or characteristics, made, or received by a state agency or its officers or employees in connection with the transaction of public business.” [Wis. Stats. § 16.61\(2\)\(b\)](#).

Exceptions to Public Records. Public records do not include: (a) **Wisconsin Legislators:** records and correspondence of any member of the legislature; (b) **State Depository Library:** any state document received by a state document depository library; (c) **Duplicates:** duplicate copies of materials the original copies of which are in the custody of the same state agency and which are maintained only for convenience or reference and for no other substantive purpose; (d) **Library Materials:** materials in the possession of a library or museum made or acquired solely for reference or exhibition purposes; (e) **Unsolicited Notices:** notices or invitations received by a state agency that were not solicited by the agency and that are not related to any official action taken, proposed, or considered by the agency; (f) **Preliminary Materials:** drafts, notes, preliminary computations and like materials prepared for the originator’s personal use or prepared by the originator in the name of a person for whom the originator is working; and (7) **Routing:** routing slips and envelopes. [Wis. Stats. § 16.61\(2\)\(b\)](#).

Personally Identifiable Information (PII). This is information that can be associated with a particular individual through one or more identifiers or other information or circumstances. [Wis. Stats. § 19.62\(5\)](#).

Responsibilities of State Agencies. The term “state agency” is defined as: “any officer, commission, board, department or bureau of state government.” [Wis. Stats. § 16.61\(2\)\(d\)](#). And “all public records made or received by, or in the custody of, a state agency shall be the property of the state, and these public records may not be disposed of without written approval from the Public Records Board.” [Wis. Stats. § 16.61\(4\)](#).

FOR ADDITIONAL INFORMATION AND ASSISTANCE

Agency personnel should also consult with the following resource staff for additional information and assistance with records management concerns.

Records Officer: Each agency has a designated records officer who serves as liaison to the Public Records Board. The records officer is responsible for agency-wide records management planning, program development, and assistance.

DOA Records Management Section: The DOA Records Management Section provides free training sessions, as needed, on implementation of general records schedules. Further information regarding both training sessions and records management can be accessed by entering the search term “records management section” at the following website: www.doa.state.wi.us

Public Records Board: The board’s Executive Secretary can offer technical assistance and training to assist agencies with records management, including records scheduling and interpretation of schedules.

Archival Repositories: For some records series that have been appraised to have archival value, the disposition will indicate ‘transfer to an archival repository.’ An archival repository is responsible for processing the records, making them available to researchers, and providing for their safe-keeping and preservation. An official archival repository is one that has been reviewed and designated as such by the Wisconsin Public Records Board according to [Wis Stats. 16.61\(13\)\(b\)](#). In general, transferring to an archival repository means transferring records to either the Wisconsin Historical Society (State Archives) or the University of Wisconsin Madison Archives:

Wisconsin Historical Society: The Wisconsin Historical Society (WHS) assists agencies with records management, particularly in identifying the small percentage of records that have historical value.

University of Wisconsin Institution Archives: University of Wisconsin Institutions have delegated authority to operate archives for historical institutional records. Often, the University of Wisconsin archives also function as the focus for records management related activities on the campus.

RECORDS MANAGEMENT PROGRAM RECORDS and RELATED DOCUMENTS

Records management is the application of accepted practices and standards to control the creation, dissemination, utilization, organization, retrieval, retention, and eventual disposition of records. It includes all agency activities to improve, control, standardize, create, destroy, and monitor use of agency records. This general records schedule intends to cover all such records in all media related to the above activities including records related to compliance with provisions of Wis. Statutes. [15.04](#), [16.61](#), and [19.62](#) through [19.80](#) and [Adm. 12](#) Electronic Records Management--Standards and Requirements.

Note: See Appendix 2 for description of the Versatile software used by DOA.

REC00001 Records Inventory Files

Descriptive inventories of agency records (all media), contained in either manual or automated systems, for in-house and offsite records. Examples include internal inventories of records maintained and inventory reports from the State Record Center or other storage vendors. Inventories may contain information indicating the titles, record series, contents, locations, volume, inclusive dates, RDA (Record Retention/Disposition Authorization) numbers, and other attributes of those records. The inventory is used for staff reference to ensure compliance with agency retention requirements, and to run reports for audit(s) or risk management purposes.

- Retention/Disposition:**
- A. DOA Official Copy** – 25 years and destroy.
 - B. Agency Copy** -- Destroy when superseded or no longer needed (if copy of DOA inventory).
Official copy - other storage vendors, retain EVT + 4 fiscal years. Event is when superseded.
In those cases where the records have archival or permanent value, transfer records to an official archival repository.
 - C. Working copies (*non-records*)** -- Destroy when superseded or no longer needed.

Confidential: No

PI Information: No

Administrative Note: The Agency Records Manager/Officer maintains the official copy of out-sourced records storage vendor inventory records. Agencies may retain copies of previous versions for historical and reporting purposes.

REC00002 Records Retention/Disposition Authorizations (RDA)

Records Retention/Authorizations (RDA's) approved by the Wisconsin Public Records Board (PRB), correspondence and memoranda, copies of laws, regulations, and other related retention and disposition requirements documents used to establish and support legally approved retention and disposition schedules for agency records. Agencies must retain RDA's to document compliance with State records management laws and regulations and as the authority to retain and/or dispose of records specified in such policies. This is the agency official record.

Retention/Disposition:

- A. DOA Official Copy** – Permanent
- B. Agency Official Copy** – Retain until superseded and file in history file (see REC00003).
- C. Duplicate copies (*non-records*)**-- (example: Online copies or coordinator copies) -- Destroy after superseded.

Confidential: No

PI Information: No

Administrative Note: Agencies are required to submit RDA's for approval to the Public Records Board (PRB) within one year after a record series has been created per [Wis. Stats. 16.61 \(4\) \(b\)](#). State records cannot be disposed of until a RDA covering those records has been approved by the PRB. Although the PRB requires revision of approved RDAs after 10 years from the approval date, non-revised RDAs remain in effect, but are considered non-current. RDAs must be revised before they sunset if there are any significant changes in the records or program that generates those records.

REC00003 RDA History File

History files of all approved agency records series Records Retention/Authorizations (RDA's). This will include all superseded RDAs and their subsequent revisions from the oldest known version to the most current approved RDA for each records series.

Such information may also be contained in an agency electronic RDA index file or database. This RDA applies to all media containing this information.

This file is used to create and distribute additional working copies to agencies' program managers, records coordinators, and agency staff. Agency records officers use this file as reference and research to accomplish responsibilities under Wis. Stats. [s. 15.04](#) and [s. 16.61](#). and to ensure agency's retention and disposition compliance with statutes.

Retention/Disposition: Permanent

Confidential: No

PI Information: No

Administrative Note: DOA has a history of RDA's available for use as needed.

REC00004 Records/Disposition Authorization (RDA) Index File

Current index or database file used to track agency approved RDAs including RDAs that are no longer active. This RDA applies to all media containing this information.

Retention/Disposition: Permanent.

Confidential: No

PI Information: No

REC00005 Records Disposition Files

Records documenting authorized/approved destruction of records or records transferred from the agencies or the State Records Center to an official archival repository for permanent preservation. These include destruction request and approval forms, DOA State Records Center annual and mid-year disposition reports, purge lists, transfer to archives eligibility reports, and related correspondence. Files include both paper and electronic records.

Retention/Disposition:

- A. DOA Official Copy** (for records kept at the SRC) – Permanent
- B. Agency Copy** – FIS+4 years (for records kept at the SRC)
Permanent (for records kept at other storage facilities)
- C. Duplicate copies (*non-records*)** – Destroy when no longer needed (includes additional copies distributed and kept by agencies records coordinators or program managers).

Confidential: No

PI Information: No

Administrative Note: These records should be retained to document the legal disposition of records in case of discovery actions during litigation or when requested for use in audits.

REC00006 Records Storage/Transfer Files

Records used to transfer and retrieve records to and from inactive storage, and to maintain control over them while in storage. May include State Records Center or commercial records center retrieval requests, transfer forms (i.e. SRC Transmittal Form) or lists, record center shelf lists or inventory reports, internal agency storage requests, and charge out slips or logs.

Retention/Disposition: EVT + 0 and destroy. Event is when data is verified in DOA's or other vendor's inventory database

Confidential: No

PI Information: No

Administrative Note: Agencies may need to use these records to track missing files, boxes, or electronic media.

REC00007 Records Management Program Subject Files

Records used to support the administration of an agency records management program, arranged by subject, and consisting of correspondence, memoranda, reports, guidelines, articles, vendor literature, management plans, surveys, studies, presentation of training courses and materials, requests for waivers to policy (justification, special circumstances, etc.) and other records management operations not covered elsewhere.

Retention/Disposition: EVT + 0 and destroy. Event is until no longer needed for reference or analysis, obsolete, or superseded, whichever is later.

Confidential: No

PI Information: No

Administrative Note: These records have no legal or fiscal value. Many are used for informational purposes only. Agencies should maintain files by fiscal or calendar year and dispose of all obsolete records at regular intervals. This item should not be used for records that are covered by other items in this general schedule or other statewide general schedules.

REC00008 Records Management Planning

Records pertaining to development, establishment, supplementation, and issuance of records management policies, procedures and guidelines governing conduct of the statewide or an agency wide records management program.

Retention Period: EVT + 3 years and destroy. Event is superseded.

Confidential: No

PI Information: No

REC00009 Records Management Policies and Procedures

Agency records management manuals, policies, processes and procedures set to help staff manage the agency records.

Retention/Disposition: EVT + 3 years and destroy. Event is when obsolete or superseded.

Confidential: No

PI Information: No

REC00010 Records Management Consultation Visits

Requests for assistance, reports of visits, or audit assistance (including observations, recommendations, and follow-up actions) and other directly related records relating to scheduled or special visits made to provide records management assistance.

Retention/Disposition: EVT + 0 and destroy. Event is until completion of next comparable visit or when no longer needed, whichever is sooner.

Confidential: No

PI Information: No

Appendix 1

RDA #	Title	Retention	Disposition	Comment
REC00001	Records Inventory Files	A. DOA Official Copy - 25 years. B. Agency Copy - EVT C. Working copies - EVT	A. Destroy B. Destroy - SRC copies Permanent - Other Vendors C. Destroy	A. N/A B. When superseded or no longer needed - SRC copies C. When superseded or no longer needed In cases where the records have archival or permanent value, transfer records to an official archival repository.
REC00002	Records Retention/Disposition Authorizations (RDA)	A. DOA Official Copy - Permanent B. Agency Official Copy - EVT C. Duplicate copies - EVT D.	A. N/A B. File in history file C. Destroy	A. N/A B. After superseded C. After superseded
REC00003	RDA History File	Permanent	N/A	N/A
REC00004	Records/Disposition Authorization (RDA) Index File	Permanent	N/A	N/A
REC00005	Records Disposition Files	A. DOA Official Copy - Permanent B. Agency Copy FIS + 4 (for records at SRC) Permanent (for records at other vendors) C. Duplicate copies - non records	A. N/A B. Destroy (for records at SRC) N/A (for records at other vendors) C. Destroy	A. N/A B. C. When no longer needed
REC00006	Records Storage/Transfer Files	EVT + 0	Destroy	Event is when data is verified in DOAs or other vendor's inventory database

REC00007	Records Management Program Subject Files	EVT + 0	Destroy	Event is until no longer needed for reference or analysis, obsolete, or superseded, whichever is later.
REC00008	Records Management Planning	EVT + 3 years	Destroy	Event is when superseded
REC00009	Records Management Policies and Procedures	EVT + 3 years	Destroy	Event is when obsolete or superseded.
REC00010	Records Management Consultation Visits	EVT + 0	Destroy	Event is retain until completion of next comparable visit or when no longer needed, whichever is sooner.

Appendix 2

Versatile Enterprise RDA Summary-March 16, 2006

The Versatile Enterprise software package is a proprietary software package developed by Zasio, Inc., of Boise, Idaho. It is a records and document management software package that is multi-functional with several modules (database tables), described further below. Purchased initially in 1992 by DOA, as a DOS based networked application, it has evolved through a Windows based conversion, then Windows NT and now exists as a Microsoft SQL server based platform. Since 2004 a web server interfaces with the application to allow users to perform certain functions via the Internet. The software can manage, track, store and enable the final disposition of State records.

Versatile Enterprise software is broken down into several modules (data base tables), most within a hierarchical format, to develop an organizational structure for the records that will be managed. These modules are explained below.

Input to the modules, where applicable, is identified at a high level for each module/database table.

Reports can be produced and distributed as output from most of the modules/tables. There are both standard and add hoc reports. Output can be screen viewable, printable, or exportable in Excel or text outputs. See RDA's REC00001, REC00005, REC00006, REC00007 and REC00008 in the general schedule.

Companies, Departments, Sub-Departments and Users each may relate to any and/or all of the RDA's for Records Management Program Records and Related Documents, depending on setup, access rights, use, activity and the audit trail.

Companies-Organizational Tables

The company module/table allows for the development of multiple "companies" to be established as the first level in the organizational hierarchy. In this instance, most major State Departments and/or Boards have been designated as a "Company", i.e. "Transportation", "Corrections" or "Natural Resources". This allows for several advantages, some of which include; an additional level of security control; "global changes" which enable the wholesale transfer of departments, their RDA's and inventory; the establishment of "Company" level general schedules, which are common to more than one agency within that company, but no other agency in any other area of State government.

Departments

Departments are assigned to one parent Company and can represent any kind of entity in that company. It may be a Division, a Bureau or a Section, or one agency within any one of those. A Department can be any entity that needs to be specifically defined in the database in order to facilitate the storage, management and final disposition of records.

Sub-Departments

While the current database has not had many of these defined, Sub-Departments are any kind of agency that is defined within any department that was defined above.

An example of this hierarchy would be,

Company = State Department of Administration
Department = Division of Enterprise Operations
Sub-Department = State Records Center

Input: Structure of state government as contained in Wis. Statutes Chapter 15 with adjustments (example treating each UW institution as a separate company).

Users Table

Users are defined and assigned to specific Companies. They may also be assigned to a default Department, for ease of data entry. Users are assigned to a specific security profile, which provides access rights to whatever departments/records they have been authorized for. By default, this security assignment would also restrict them from the balance of the database.

Input: Lists of users with oversight by agency records officer.

Security

The Security module is used to create specific security profiles that are subsequently assigned to Users. Each security profile is specific to the needs, rights and authorizations of a User(s). A security profile can be assigned to more than one User.

Record Series (RDA's) Table

The Record Series module is where all RDA's are contained and contains all relevant information about the RDA including the title, description, retention, disposition, media, etc. These are not the "official" copies of the PRB approved RDA's, but rather convenience copies for the purpose of quick reference, as well as for controlling the inventory retention within the Versatile Enterprise data base. Record Series can be entered at the Global area, which makes them available for all Companies and Departments. This is where all State-wide general schedules are defined. Record Series can also be entered at the Company level, which makes them available to all Departments and agencies within that Company, in effect, making them a common general schedule for that company only. Record Series can also be entered at the individual Department or agency level, making them available only to that specific Department or agency.

Inputs: Approved agency specific, agency wide and statewide general records schedules.

See RDA's REC00002, REC00003 and REC00004 in the Records Management Program and Related Documents General Schedule

NOTE: The official copies of all PRB approved RDA's are maintained in paper format and stored in the Offices of the Board's Executive Secretary.

In addition to the above mentioned organizational hierarchy structure, there are other operational modules/tables of the Versatile Enterprise database. These are defined below.

Items Tables

The Items module is further broken down into three areas.

Boxes

The Box module is where all box inventory is entered, for all agencies. Information contained includes items such as Company, Department, governing RDA, a system assigned "VBox

Number, User Box Number, Description, From and To Dates, Event Date, Disposition, Calculated Retention, Etc. In addition, it also shows whether the box has been destroyed and the disposition batch number it would be in. There is also an Activity log, relating to all checkout and return activity of that box. If there are files electronically indexed to the box, those files can also be reviewed in the “Files” tab.

Files

The files module is where all file inventory is entered, for all agencies. Information contained includes items such as Company, Department, governing RDA, a system assigned Record Number, Description, From and To Dates, Event Date, Disposition, Calculated Retention, relationship to any assigned box and/or other files, Etc. In addition, it also shows whether the file has been destroyed and the disposition batch number it would be in. There is also an Activity log, relating to all checkout and return activity of that file.

Documents

The document module is not currently in use. However, the information contained would be the same as files, defined above, along with any association to its assigned file.

Inputs: Data on boxes and files are mostly input from transmittal forms submitted by users. Prior to 1992 the holdings of the Records Center were migrated from a mainframe inventory system. Since 2004 some agencies are entering inventory via a web interface. In certain circumstances data can be directly imported into Versatile via an import utility.

See RDA’s REC00001, REC00005, REC00006 and REC00008 in the general schedule.

Additional modules are defined below.

Space Management Tables

This module allows for the development and management of storage space, defined by Storage Rooms, Isles, Bays and Shelves. Each shelf is configured to a specific type of box. Information can include box inventory, configuration and space availability.

See RDA’s REC00001 and REC00006 in the general schedule.

Chargeback Tables

This module is used to setup the Billing Codes and Accounts for individual Departments/Agencies, to capture the storage and service charges. There is an account journal that contains all transactions that are automatically generated through service requests or monthly storage charge processing, or through manual data entry. This reporting also provides outputs that interface with the state general services billing system. This module relates to REC00001, REC00003 and REC00008.

Destructions Table

The Destructions module is used to “batch” items into processing batches, for the purpose of removing them from active inventory. These could include boxes, files or documents that are removed through the normal semi-annual disposition process and include items that are to be destroyed or transferred to the State Historical Society or the UW Archives. In addition, this module is used to remove inventory that has been recalled by a customer and will not be returning, duplicate inventory entries, mistaken inventory entries or test inventory entries.

Inputs: Records officer approvals of semi-annual destruction and transfer lists generated by Versatile are the main inputs.

See RDA's REC00001, REC00005 and REC00008.

Circulation Tables- Check-Out/Check In

This module is used for Service Request processing. Service Requests that are generated automatically through the system or manually will identify a Service Request number, the Requestor, Recipient, dates Ordered, Filled and Closed, as well as all the identified Boxes or Files that are being processed. This also is the mechanism for capturing the charges for services.

This module also has a "Wizard" for processing quick, on the fly, service requests, as well as an "Activity" log, for reviewing all checkout activity for any single Box or File that has been in inventory.

Inputs: Service request can be generated by a phone call, e-mail, or fax received by customers. Since 2004 customers are interfacing directly with Versatile through an Internet application.

See RDA's REC00005 and REC00007.

Each module defined above also has Audit trail capabilities. See RDA REC00003.

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Appendix 3: Agency Agreement to Use General Schedule-New Policies and Procedures

Currently when the Public Records Board (PRB) approves a general records schedule the implementation by each state agency is assumed. This new policy, effective March 1, 2006 requires an affirmative act on the part of agencies to adopt for their internal use General Records Schedules (GRS) approved by the Board.

Policy Statement

General records retention schedules, GRS, are a mechanism for systematic retention and disposition of similar types of records across State government. GRS's eliminate the necessity for agencies to develop and seek approval of their own retention schedules. They lend consistency to record keeping across state government and provide assurance of accountability to the public. The PRB supported the development of and approved several GRS in several functional areas. This policy statement outlines a process that State agencies must use to adopt for their internal use any GRS approved by the PRB.

Any state agency (including UW System Administration and all UW campuses) may adopt any or all of the authorizations in any general schedules approved by the PRB and identified for use by state agencies provided the agency head or deputy and agency records officer notifies the Board in writing of the intent to use the schedule. Adopting a Board approved GRS means that the agency agrees to implement the retention and disposition recommendations noted for each records series in the particular GRS. State agencies must choose one of the following options with regard to the adoption of GRS's:

- 1- **Opt in** Agreeing to opt in means the state agency agrees to use the recommendations noted in the GRS for its records.
- 2- **Opt in with revisions** State agencies choosing this alternative would agree to the recommendations of the GRS, but they will submit to the PRB a list of records series with retention and disposition recommendations that vary from the GRS. It is recognized that State agencies may have in some areas the need to retain items for a different period of time than that recommended by the GRS.
- 3- **Opt out** If a State agency opts out of adopting a GRS, it must then within six months in accordance with [Wis. Stat. 16.61](#) provide specific retention schedules for any record it maintains in the functional area covered by the GRS.

State agencies should be aware that current law ([Wis. Stat. 16.61](#)) requires authorization of the Board to destroy any state agency records. Therefore if a state agency chooses to opt out entirely or partially of any existing general schedule, they may not destroy any records until separate records disposition authorizations (RDA's) are prepared by the state agency and approved by the Board.

Implementing General Records Schedules

After adoption and notification, state agencies may use the identified general schedule for any applicable records in its custody. This means that following notification, records may be disposed on a continuing basis, provided that the minimum retention time period identified in the schedule has been met. If a general schedule identifies a record series with a disposition of transfer to an archival repository, those records must be offered to the archival repository rather than being destroyed. Disposal or transfer of records is contingent on record destruction restrictions contained in [Wis. Stat. 19.35 \(5\)](#) (Open Records Law). No records may be destroyed if litigation or audit involving these records has commenced.

State agencies may discontinue the use of all or portions of any general schedule, but the agency records officer must first notify the Board of the discontinuance. When an agency discontinues use of a general schedule (in whole or part), the records controlled by the applicable record series may no longer be destroyed or transferred until separate records disposal authorizations are prepared by the state agency and approved by the Board.

Discussion

The Board is implementing this new requirement to strengthen state agency compliance with records retention law and to increase efficiency in state records management. The requirement will be implemented on a "day forward" basis as the Board approves either new or updates to existing general schedules.

An approval form will be issued along with each approved general schedule. The form will identify the functional area (for example Fiscal and Accounting; Personnel; Information Technology) covered by the general schedule and have check boxes for the agency to affirm their intent to opt in to the entire general schedule, opt in with revisions or opt out all together. The form will have signature blocks for the Agency Head, Agency Records Officer, Board Executive Secretary and the State Archivist.

Agencies should not opt out of a GRS because your agency does not create or use all the types of records contained in a schedule. Agreeing to follow the record retention and disposition requirements within a GRS does not obligate an agency to create records. It only requires that records be retained in accordance with the retention time periods and dispositions if such records exist.

Since the general schedule contains the minimum time periods, the most likely reason that an agency will not use the time periods is because they have a business need to keep the records longer. The Public Records Board will not approve retention time periods in separately submitted record schedules shorter than those contained in the general schedule.

If a record series in a general schedule is identified as having potential historical value, that determination stays with that record series if an agency chooses not to adopt the general schedule. This means that if an agency proposes a separate schedule they should assume that the disposition for the series will be transfer to an archival repository, rather than destroy.

Agency compliance with records retention requirements is existing state law. Therefore agencies that choose to opt out of all or parts of a general schedule may not destroy any records that are controlled by these record series until the agency has prepared separate records disposal authorizations which are then approved by the Public Records Board.

For More Information Contact:

Executive Secretary
Public Records Board
608 266-2770
March 29, 2006

Notification of General Records Schedule Adoption

Schedule Title: _____ Date: _____

Instructions:

Complete and send the original and 2 copies to: State Archivist, Wisconsin Historical Society (WHS), 816 State St., Madison, WI 53706.

- Do not opt out of a record series because your agency does not create or use these types of records. Signing the form does not obligate an agency to create records. It only requires that records be retained in accordance with the retention time periods and dispositions if such records exist.
- Please attach a brief narrative explaining your rationale for opting out of each record series. Examples: Increased retention needed for business purpose, or federal or state regulation requires longer retention. When a separate schedule is prepared, identify that the record series is in lieu of the general schedule and cross reference the specific series.

NOTE: Destruction or transfer of records is not permitted until this form is signed by the WHS and the Public Records Board.

State Agency: _____

Address: _____

This is to notify the Wisconsin Historical Society and the Public Records Board that the state agency named above has reviewed the general records schedule.

Check appropriate box(es):

☐ The State Agency adopts the entire schedule.

☐ The State Agency opts out of the entire schedule.

(All applicable records disposition must cease until separate RDAs are developed and approved by the Public Records Board.) Please attach a brief narrative explaining your rationale.

☐ The State Agency opts out of the following record series.
Please list identifying the specific RDA numbers and titles:

In those areas not covered, all records disposition will cease until separate RDAs are developed and approved.

Agency Head/Deputy Signature	Date Signed
Agency Records Officer Signature	Date Signed

The Public Records Board and Wisconsin Historical Society acknowledge your Notification of Adoption. You are hereby authorized to retain, transfer, and dispose of records as indicated on the schedule.

State Archivist Signature	Date Signed
PRB Executive Secretary Signature	Date Signed